

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

5283

In Re Application: John Hendricks, et al.

Serial No.

09/400,296

Filing Date

September 21, 1999

Examiner

N/A

Group Art Unit

2766

Electronic Book Security and Copyright Protection System

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Dated: August 19, 2002

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CC:



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Confirmation No: 3284

John S. HENDRICKS et al.

Attorney Docket No: 026880-00018

Serial Number: 09/400,296

Group Art Unit: 2135

Filed: September 21, 1999

Examiner: Beemnet W. Dada

For: ELECTRONIC BOOK SECURITY AND COPYRIGHT PROTECTION SYSTEM

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

July 19, 2007

Sir:

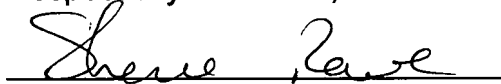
Pursuant to 37 CFR §1.56, the attention of the Patent and Trademark Office is hereby directed to the information item(s) listed on the attached Form PTO-SB08. Unless otherwise indicated herein, one copy of each item(s) is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the item(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date, OR (b) before the mailing date of a first Office Action on the merits in the present application, OR (c) accompanies a Request for Continued Examination. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than

three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

- ☐ c. A check in the amount of \$180.00 in payment of the fee under 37 CFR §1.17(p). Please charge any fee deficiency or credit any overpayment to Deposit Account No. 01-2300 as needed to ensure consideration of the disclosed information.
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Applicant(s) hereby petition(s) that the Information Disclosure Statement be considered. Attached is our check in the amount of \$180.00 in payment of the petition fee under 37 CFR §1.17(i)(1). Please charge any fee deficiency or credit any overpayment to Deposit Account No. 01-2300 as needed to ensure consideration of the disclosed information.
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(1).
- ☐ b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 CFR §1.97(e)(2).

Respectfully submitted,



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Enclosure: Form PTO/SB/08 (with 48 references)



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT Form PTO/SB/08a

Complete if Known

Application Number	09/400,296
Filing Date	September 21, 1999
First Named Inventor	John S. HENDRICKS et al.
Art Unit	2135
Examiner Name	Beemnet W. Dada
Attorney Docket Number	026880-00018

Sheet 1 of 1

U.S. PATENT DOCUMENTS

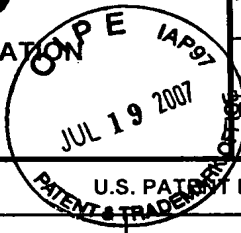
Examiner Initials*	Cite No. ¹	Document Number	Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	A1	US- 5,864,823		01-26-1999	LEVITAN	
	A2	US-4,023,408		05-17-1977	RYAN et al.	
	A3	US-5,146,600		09-08-1992	SUGIURA	
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Examiner Initials*	Cite No. ¹	Foreign Patent Document	Country Code ³	Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
	A36	EP 140302	EP		05-08-1985	Ghosh et al.		
	A37	JP03225445	JP		10-04-1991	Naka et al.		AB
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INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)



ATTY DOCKET NO.
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SERIAL NO.
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FILING
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GROUP
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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
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							YES	NO
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	3.	WO 97/22067	6/19/1997	WIPO				
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	5.	WO 97/22102	6/19/1997	WIPO				

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		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	6.	WO 97/22111	6/19/1997	WIPO				
	7.	WO 97/22103	6/19/1997	WIPO				
	8.	WO 97/22063	6/19/1997	WIPO				
	9.	WO 97/22105	6/19/1997	WIPO				
	10.	WO 97/22104	6/19/1997	WIPO				

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							YES	NO
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INFORMATION DISCLOSURE CITATION

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							YES	NO
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John Hendricks, et al.

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*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

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							YES	NO
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	22.	WO 97/22106	6/19/1997	WIPO				
	23.	WO 97/22062	6/19/1997	WIPO				
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	25.	JP6134489	5/17/1994	Japan				

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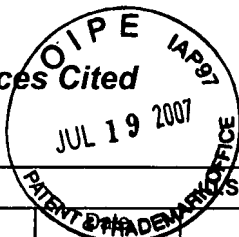
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	26.	WO 01/18665A2	3/15/2001	WIPO				
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Notice of References Cited



Application/Control No.

09/400,296

Applicant(s)/Patent Under
Reexamination
HENDRICKS ET AL.

Examiner

Beemnet W Dada

Art Unit

2135

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*		Document Number Country Code-Number-Kind Code	MM-YYYY	Name	Classification
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	B	US-4,625,076	11-1986	Okamoto et al.	713/176
	C	US-4,891,838	01-1990	Faber, Lawrence M.	713/202
	D	US-4,405,829	09-1983	Rivest et al.	380/30
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	L	US-			
	M	US-			

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	N					
	O					
	P					
	Q					
	R					
	S					
	T					

NON-PATENT DOCUMENTS

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
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	X	

*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)
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